

UNITED STATES DISTRICT COURT
EASTERN DISTRICT OF TENNESSEE
CHATTANOOGA DIVISION

SECURITIES AND EXCHANGE
COMMISSION,

Plaintiff,

v.

JAMES HUGH BRENNAN III; DOUGLAS
ALBERT DYER; AND BROAD STREET
VENTURES, LLC,

Defendants,

and

CAROLE JOHNSTON BRENNAN;
ALISON F. DYER,

Relief Defendants.

CIVIL ACTION FILE
NO. 1:16-cv-307-TRM-
SKL

ORDER


The U.S. Securities and Exchange Commission's Motion To Set Disgorgement, Prejudgment Interest and Civil Penalties for Defendants James Hugh Brennan III, Douglas Albert Dyer and Broad Street Ventures, LLC, having

been read and considered, and good cause shown,

IT IS HEREBY ORDERED, ADJUDGED AND DECREED that Defendants James Hugh Brennan III, Douglas Albert Dyer and Broad Street Ventures, LLC shall pay, jointly and severally, disgorgement and prejudgment interest of \$4,942,070.18. Said disgorgement and prejudgment interest shall be offset by an amount equal to the amount of restitution ordered to be paid in the Order of Restitution entered in *U.S. v Brennan, et al.*, Case No. 1:17-cr-00053 (E.D. Tenn.) on October 4, 2017.

IT IS HEREBY FURTHER ORDERED, ADJUDGED AND DECREED that no civil penalties shall be imposed against any of the Defendants.

Dated: February 15, 2018.


TRAVIS R. McDONOUGH
UNITED STATES DISTRICT JUDGE

Submitted by:
Robert F. Schroeder